



LAW OFFICES  
**LERNER, DAVID, LITTBENBERG, KRUMHOLZ & MENTLIK, LLP**

600 SOUTH AVENUE WEST

WESTFIELD, NEW JERSEY 07090-1497

(908) 654-5000

FAX: (908) 654-7866

[www.ldkm.com](http://www.ldkm.com)

PATENTS, TRADEMARKS AND COPYRIGHTS

SIDNEY DAVID  
JOSEPH S. LITTBENBERG  
ARNOLD H. KRUMHOLZ  
WILLIAM L. MENTLIK  
JOHN R. NELSON  
ROY H. WEPNER  
STEPHEN B. GOLDMAN  
CHARLES P. KENNEDY  
PAUL H. KOCHANSKI  
MARCUS J. MILLET  
BRUCE H. SALES  
ARNOLD B. DOMPIERI  
KEITH E. GILMAN  
ROBERT B. COHEN  
MICHAEL H. TESCHNER  
GREGORY S. GEWIRTZ  
JONATHAN A. DAVID  
SHAWN P. FOLEY\*  
JEFFREY S. DICKEY

THOMAS M. PALISI  
STEPHEN F. ROTH  
KIMBERLY V. PERRY  
RENÉE M. ROBESON  
LYNNE A. BORCHERSA  
MICHAEL J. DOHERTY  
MATTHEW B. DERNIER  
J. KIRKLAND DOUGLASS  
SCOTT S. SERVILLA  
JEANNE P. VALLEBUONA  
EDWARD D. PERGAMENTA  
FRANK J. CHESKY II  
WILLIAM SMITH  
TIMOTHY J. LUBECKI\*  
TIMOTHY J. BORTREE  
YUFENG LIU

OF COUNSEL  
LAWRENCE I. LERNER  
DANIEL H. BOBIS  
RAYMOND W. AUGUSTINA  
HARVEY L. COHEN

\*NORTH CAROLINA BAR ONLY  
\*NEW YORK BAR ONLY  
\*PENNSYLVANIA BAR ONLY

June 7, 2001

RECEIVED

AUG 21 2001

Technology Center 2600

Commissioner For Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, D.C. 20231

Re: Our File: SONYJP 3.0-136  
Appln. No. 09/750,370  
Filing Date: December 28, 2000  
Group Art Unit: 2615

Dear Sir:

We are enclosing herewith copies of the filing receipt and executed Declaration for the above-identified patent application.

In the *Title*, please insert --DATA-- before "recording" so that the title reads --Data Processing Apparatus, Data Processing Method, Data Reading Apparatus, and DATA Recording Apparatus--.

Kindly issue a corrected filing receipt for the above-identified application as soon as possible.

Sincerely yours,

LERNER, DAVID, LITTBENBERG,  
KRUMHOLZ & MENTLIK, LLP

ARNOLD H. KRUMHOLZ  
Reg. No. 25,428

AHK:ls  
Enclosures  
313495\_1.DOC

## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/750,370	12/28/2000	2615	1136	SONYJP 3.0-136	8	32	4

O I P E  
JUN 1 2001  
PATENT & TRADEMARK OFFICE

000530  
 LERNER, DAVID, LITTENBERG,  
 KRUMHOLZ & MENTLIK  
 600 SOUTH AVENUE WEST  
 WESTFIELD, NJ 07090

RECEIVED  
 AUG 21 2001  
 Technology Center 2600

CONFIRMATION NO. 7312

UPDATED FILING RECEIPT



OC000000006123219.

Date Mailed: 05/29/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**

Jun Hirai, Tokyo, JAPAN;

**Domestic Priority data as claimed by applicant****Foreign Applications**

JAPAN P11-377255 12/29/1999

**If Required, Foreign Filing License Granted 02/15/2001****Projected Publication Date: 09/06/2001****Non-Publication Request: No****Early Publication Request: No****Title**

Data processing apparatus, data processing method, data reading apparatus, and recording apparatus

RECEIVED

JUN 01 2001

LDLK&amp;M

**Preliminary Class**

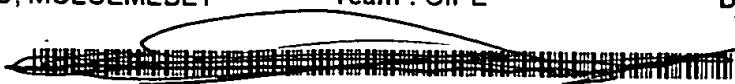
386

---

Data entry by : GURMU, MULUEMEBET

Team : OIPE

Date: 05/29/2001





**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
 Office of Initial Patent Examination  
 Customer Service Center  
 Washington, DC 20231



## Declaration and Power of Attorney For Patent Application

特許出願宣言書及び委任状

Japanese Language Declaration

日本語宣言書

以下の氏名の発明者として、私は以下の通り宣言します。 As a below named inventor, I hereby declare that:

私の住所、郵便番号、国籍は下記の私の氏名の後に記載された通りです。

My residence, post office address and citizenship are as stated next to my name.

下記の名称の発明に関して請求範囲に記載され、特許出願している発明内容について、私が最初かつ唯一の発明者（下記の氏名が一つの場合）もしくは最初かつ共同発明者であると（下記の名前が複数の場合）信じています。

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

DATA PROCESSING APPARATUS, DATA PROCESSING METHOD, DATA READING APPARATUS,  
AND DATA RECORDING APPARATUS

上記発明の明細書（下記の欄でx印がついていない場合は、本書に添付）は、

the specification of which is attached hereto unless the following box is checked:

一月一日に提出され、米国出願番号または特許協定条約国際出願番号を \_\_\_\_\_ とし。  
(該当する場合) \_\_\_\_\_ に訂正されました。

was filed on December 28, 2000  
as United States Application Number or  
PCT International Application Number  
09/750,370 and was amended on  
(if applicable).

私は、特許請求範囲を含む上記訂正後の明細書を検討し、内容を理解していることをここに表明します。

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

私は、連邦規則法典第37編第1章5.6項に定義されるおり、特許資格の有無について重要な情報を開示する義務があることを認めます。

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

## Japanese Language Declaration

(日本語宣言書)

私は、米国法典第35編119条(a)-(d)項又は365条(b)項に基き下記の、米国以外の少なくとも一ヵ国を指定している特許協力条約365(a)項に基く国際出願、又は外国での特許出願もしくは発明者証の出願についての外国優先権をここに主張するとともに、優先権を主張している。本出願の前に出願された特許または発明者証の外国出願を以下に、枠内をマークすることで、示しています。

## Prior Foreign Application(s)

外国での先行出願

P11-377255(Number)  
(番号)Japan  
(Country)  
(国名)(Number)  
(番号)(Country)  
(国名)

私は、第35編米国法典119条(e)項に基いて下記の米国特許出願規定に記載された権利をここに主張いたします。

(Application No.)  
(出願番号)(Filing Date)  
(出願日)

私は、下記の米国法典第35編120条に基いて下記の米国特許出願に記載された権利、又は米国を指定している特許協力条約365条(c)に基く権利をここに主張します。また、本出願の各請求範囲の内容が米国法典第35編112条第1項又は特許協力条約で規定された方法で先行する米国特許出願に開示されていない限り、その先行米国出願書提出日以降で本出願書の日本国内または特許協力条約国際提出日までの期間中に入手された、連邦規則法典第37編1条56項で定義された特許資格の有無に関する重要な情報について開示義務があることを認識しています。

(Application No.)  
(出願番号)(Filing Date)  
(出願日)(Application No.)  
(出願番号)(Filing Date)  
(出願日)

私は、私自身の知識に基づいて本宣言書中で私が行なう表明が真実であり、かつ私が入手した情報と私の信じるところに基づく表明が全て真実であると信じていること、さらに故意になされた虚偽の表明及びそれと同等の行為は米国法典第18編第1001条に基づき、罰金または拘禁、もしくはその両方ににより処罰されること、そしてそのような故意による虚偽の声明を行なえば、出願した、又は既に許可された特許の有効性が失われることを認識し、よってここに上記のごとく宣誓を致します。

I hereby claim foreign priority under Title 35, United States Code, Section 119 (a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed.

Priority Not Claimed  
優先権主張なし29 December 1999(Day/Month/Year Filed)  
(出願年月日)(Day/Month/Year Filed)  
(出願年月日)

I hereby claim the benefit under Title 35, United States Code, Section 119(e) of any United States provisional application(s) listed below.

(Application No.)  
(出願番号)(Filing Date)  
(出願日)

I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s), or 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code Section 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of application.

(Status: Patented, Pending, Abandoned)  
(現況: 特許許可済、係査中、放棄済)(Status: Patented, Pending, Abandoned)  
(現況: 特許許可済、係査中、放棄済)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

## Japanese Language Declaration

(日本語宣言書)

委任状： 私は下記の発明者として、本出願に関する一切の手続を米特許商標局に対して遂行する弁理士または代理人として、下記の者を指名いたします。（弁護士、または代理人の氏名及び登録番号を明記のこと）

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith (list name and registration number)

Customer No. 000530

書類送付先

Send Correspondence to:

Customer No. 000530

直接電話連絡先：（名前及び電話番号）

Direct Telephone Calls to: (name and telephone number)

Robert B. Cohen, Reg. No. 32,768  
 Telephone: (908) 518-6316  
 Facsimile: (908) 654-7866

唯一または第一発明者名

Full name of sole or first inventor  
Jun Hirai

発明者の署名

日付

Inventor's signature

Date

*Jun Hirai*

April 6 2001

住所

Residence

Tokyo, Japan

国籍

Citizenship

Japan

私書箱

Post Office Address

c/o Sony Corporation, 7-35, Kitashinagawa 6-chome, Shinagawa-ku,

Tokyo, Japan

第二共同発明者

Full name of second joint inventor, if any

第三共同発明者

日付

Second inventor's signature

Date

住所

Residence

国籍

Citizenship

私書箱

Post Office Address

（第三以降の共同発明者についても同様に記載し、署名をすること）

(Supply similar information and signature for third and subsequent joint inventors.)

**FILE COPY**

#13

**UNITED STATES PATENT AND TRADEMARK OFFICE**

COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

**CONFIRMATION NO. 7312**

Bib Data Sheet

SERIAL NUMBER 09/750,370	FILING DATE 12/28/2000 RULE	CLASS 386	GROUP ART UNIT 2615	ATTORNEY DOCKET NO. SONYJP 3.0-136
-----------------------------	-----------------------------------	--------------	------------------------	--

**APPLICANTS**

Jun Hirai, Tokyo, JAPAN;

**\*\* CONTINUING DATA \*\*\*\*\*****\*\* FOREIGN APPLICATIONS \*\*\*\*\***

JAPAN P11-377255 12/29/1999

**IF REQUIRED, FOREIGN FILING LICENSE GRANTED**

\*\* 02/15/2001

Foreign Priority claimed	<input type="checkbox"/> yes <input type="checkbox"/> no	STATE OR COUNTRY JAPAN	SHEETS DRAWING 8	TOTAL CLAIMS 32	INDEPENDENT CLAIMS 4
35 USC 119 (a-d) conditions met	<input type="checkbox"/> yes <input type="checkbox"/> no <input checked="" type="checkbox"/> Met after Allowance				

**Address**

000530

**TITLE**

Data processing apparatus, data processing method, data reading apparatus, and data recording apparatus

FILING FEE RECEIVED 1136	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:	<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees ( Filing ) <input type="checkbox"/> 1.17 Fees ( Processing Ext. of time ) <input type="checkbox"/> 1.18 Fees ( Issue ) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit
-----------------------------	---	---

ENK